

## **ULTRASOUND ENHANCEMENT OF PERCUTANEOUS DRUG ABSORPTION**

### **Field of the Invention**

The present invention generally relates to a system for enhancing and improving the transcutaneous or transdermal delivery of various topical chemicals or drugs (also referred to herein as "active agents").

### **Background of the Invention**

Heretofore, ultrasound has been primarily used for diagnostic purposes with an outstanding safety record. It has also been used for dental care. Physical therapy uses ultrasound primarily to generate deep heat and also sometimes as an adjunct to wound healing. Some attempts have been made since the 1950's to use ultrasound to deliver hydrocortisone into joint spaces (originally for bursitis) or lidocaine (for pain relief) rather than injecting with needles. The current use of ultrasound to deliver drugs is primarily its use in physical therapy for non-invasive treatment of certain musculoskeletal disorders. Research in recent years has dramatically increased the understanding of ultrasound and its effects on skin and transport of topical agents. However, there is no consensus on how to optimally increase the flux or flow of topical agents across the skin using ultrasound.

Although ultrasound has been useful to deliver drugs very deeply into joints, several problems exist with this technique. For example, if high frequency ultrasound is directed toward a bone for an extended period of time, then the energy can cause a burn. To some extent a focused beam tends to cause uneven concentration and uneven penetration, and may also cause injuries. This is particularly true with older ultrasound equipment, but is also true of many current ultrasound technology in clinical use today. An additional problem with

some earlier ultrasound equipment is that a two to four hour exposure period may be required. The newer ultrasounds use frequencies that provide results in a five to twenty minute time frame.

The use of ultrasound to deliver agents transcutaneously is generally termed "sonophoresis" but occasionally is termed "phonophoresis". Ultrasound generally comprises high-frequency sound waves that are above the human hearing range (usually greater than 20,000 Hertz (Hz) frequency units).

The sound waves may be generated by applying an alternating high frequency electrical current to a crystal such as a quartz, silicone dioxide, lithium sulfate of barium titanate. This current distorts the crystal, creating high frequency vibrations known as the piezoelectric effect. The sound waves produced have energy and may penetrate matter, depending on its acoustic density and composition. These sound waves may be delivered either in a focused manner and concentrated to a focal point (similar to the effects achieved with a magnifying lens and sunlight) or delivered in a non focused manner, termed "collimated," whereby the beam is uniform and parallel with no focal point (similar to falling rain).

The depth of penetration of ultrasound is inversely related to the frequency. Current diagnostic and therapeutic ultrasound typically ranges in frequency from 1-3 MHZ to 4-10 MHZ. Delivery may be pulsed in bursts or continuous beam modes, either stationary or continuously moving (usually at a rate of about one inch per second). The energies used generally range from a few milliwatts to a few watts.

The ultrasound energy is usually delivered through a transducer head. When used on skin, it is usually placed in direct contact with the skin using a coupling medium (which is often an aqueous gel), as shown, for example, in Figure 1.

It is also known that topical agents may be applied directly to the skin. Sometimes absorption of these agents may be enhanced by techniques such as

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In accordance with the present invention, these and other objectives may be achieved by providing an optimal selection of ultrasound parameters such as frequency, intensity, pulse length, beam characteristics and application time on the skin (including both human and animal) to enhance the transport of topical agents into epidermal, dermal and subcutaneous tissues. The present invention may be useful to produce higher concentrations of such an agent than may be accomplished by current topical application or delivery methods. Such increased concentrations may have beneficial effects depending on the characteristics of the topical agent delivered. Patients who cannot tolerate current topical application methods may achieve beneficial effects by delivering similar concentrations of the agent with little or no side effects. Topical agents which cannot normally penetrate the skin with current methods may be transported into the dermis

It appears that ultrasound exposure in the therapeutic range causes cavitation in the keratinocytes of the stratum corneum as the primary effect in increasing skin permeability for transcutaneous transport of topical agents (cavitation is a process where bubbles are formed which oscillate causing structural disorder of the intercellular lipid bilayers of the keratinocytes).

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when applied topically may achieve significant penetration when used in conjunction with sonophoresis with proper parameters. See Figure 3 and 4.

### **Brief Description of the Drawings**

A detailed description of a preferred embodiment of the present invention will be made with reference to the accompanying drawings.

Figure 1 illustrates an example of the delivery of ultrasound energy through a coupling medium and a transducer head.

Figure 2 illustrates an example of the percutaneous delivery of topical agents being principally limited by the barrier function of the stratum corneum (the outermost 15-25 microns of the skin).

Figures 3 and 4 illustrate an example of cavitation from ultrasound "expanding" the spaces between keratinocytes, thus creating a channel for drugs including drug molecules that are too large to penetrate the skin when applied topically achieving significant penetration when used in conjunction with sonophoresis with proper parameters.

Figure I.1 illustrates an example of a pretreatment of the stratum corneum.

Figure I.2 illustrates an example of a coupling agent being applied and an ultrasound treatment being performed.

Figure I.3 illustrates an example of a coupling agent being removed and an active topical agent being applied.

Figure I.4 illustrates an example of an active topical agent being removed after an appropriate time.

Figure I.5 illustrates an example of a protective topical agent being applied.

Figure II.2 illustrates an example of an active topical agent which also serves as a coupling agent being applied, and an ultrasound treatment being performed.

Table 1. Demographic characteristics of the study population	
<b>Age (years)</b>	
Mean	50.0
SD	10.0
Range	20-70
<b>Gender</b>	
Male	100
Female	100
<b>Ethnicity</b>	
White	100
Black	100
Hispanic	100
Other	100
<b>Education (years)</b>	
Mean	12.0
SD	2.0
Range	8-16
<b>Occupation</b>	
Professional	100
Managerial	100
Technical	100
Service	100
Unemployed	100
<b>Marital status</b>	
Married	100
Single	100
Divorced	100
Widowed	100
<b>Health insurance</b>	
Private	100
Public	100
Medicaid	100
Medicare	100
Other	100
<b>Smoking status</b>	
Current	100
Former	100
Never	100
<b>Alcohol consumption</b>	
Regular	100
Occasional	100
Never	100

## Detailed Description of the Preferred Embodiments

In a preferred embodiment, each active agent may be specially formulated to achieve a desired result using ultrasound. At present, many drugs are formulated to achieve a desired result using topical penetration, but the inventor is unaware of any drug that is specially formulated to achieve a desired or optimal result using ultrasound. At present, a coupling agent must typically be useful to enable effective transmission using ultrasound.

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In another embodiment of the invention an ultrasound gel or similar substance may be put on the skin first. The skin may then be exposed to ultrasound. The gel may be removed and the active agent may be placed on the skin. The active agent may be allowed to sit on the skin for a period of time, preferably between about five and twenty minutes. This tends to provide a short "burst" of the active agent at a higher penetration. The residue may then be wiped off, so that no active agent is left to irritate the skin.

It appears that, at least in this embodiment, the increased barrier spreading on the cells and/or permeability may last for up to one or two days. A topical agent, aerosol agent, dressing, or delivery device may be applied to help protect during this time or to help restore the barrier function. A preferred

formulation could be a lipid mixture such as cholesterol, ceramides, free fatty acids, linoleic acid. Another option would be a lipid or liposome - polymer mixture or aerosol polymer coating. Consequently, the skin may be relatively absorbent and it may be preferable to provide some associated aftercare, such as avoiding sunburn, Retin-a or aftershave. Treatment with a topical agent specifically formulated to "restore" or improve barrier function may be used. Such a topical agent may also be packaged as described above.

In another embodiment of the invention an outer layer of skin may be removed before the skin is exposed to an active agent or ultrasound. This tends to enable the active agent to penetrate better and/or deeper. This may be achieved, for example, by first wiping the skin with acetone to strip the oils out. An enzyme may then be useful to selectively remove and/or kill only dead skin cells. Pretreatment with heat, skin hydrating preparations and preparations to alter (and optimize for treatment) the skin pH may also be utilized. Chemicals, abrasers and lasers may also be used for this purpose, although they tend to be less discriminate. An active agent may then be placed on the skin and exposed to ultrasound, or the skin may be exposed to ultrasound prior to placing an active agent on the skin. The active agent may then be wiped off. The barrier function of the outer skin layer tends to return within a few hours or days.

It has been found that removing impediments to the introduction of an active agent to the skin tends to have at least one of the following three effects: (1) increasing the amount of active agent which enters the skin, (2) shortening the time during which the skin must be exposed, and/or (3) increasing the penetration depth of the active agent. Precision, uniformity and safety may be improved by reducing variations in the material actually placed on the skin and having the ultrasound beam as uniformly distributed as possible.

Treatment in accordance with the present invention tends to be relatively safe, relatively inexpensive, does not necessarily need to be performed by a physician, has a recovery time which is relatively short (and in many cases non-





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The active agent may be useful to stimulate biological systems, and from a disease therapeutic standpoint the active agent may also be useful to inhibit or turn off certain biological functions. In other words, the present invention may be useful to provide an active agent concentration of sufficient magnitude that it may cause a feedback inhibition. For example, if a concentration of 2% in the skin provides stimulation and a concentration of 4% is considered optimal, then it is possible that a concentration of 10% may provide less effect than 4% and at 15% the reverse effect may occur. It is therefore possible to have an active agent formulation (and/or time period and/or set of parameters) optimized so that the treatment does not merely restore biological function but actually treats disease.

The embodiment illustrated in Figure IV is primarily as a 'biostimulating' process and not a destructive or ablative process, such as commonly used in today's art. Using laser therapy or ultrasound (or both) to produce heat at a subnecrotic damage or injury threshold is another possible embodiment. (An example might be trying to achieve a dermal temperature that affects collagen - perhaps beginning around 55 - 60°C).

Figure IV illustrates an example of an embodiment using low energy laser therapy to stimulate (directly or indirectly) the production, proliferation, activation, or inhibition of the activity, structure or function of various biochemical or photochemical or biological processes so as to result (directly or indirectly) in effects that are beneficial to the structure, function or appearance of the skin and/or subcutaneous tissues or which results in the "rejuvenation" of photoaged, environmentally damaged or disease or drug/therapy altered skin or subcutaneous tissue.

The present invention, in a preferred embodiment, may be used either as a pretreatment followed by topical application of a desired agent or used in a coupling media vehicle to directly deliver the desired agent. At present, topical

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In a preferred formulation, it may be desirable to select a vehicle which poorly solubilizes the active agent and which preferably may evaporate at such a rate that the concentration of the active agent increases to offset the release into and through the stratum corneum. However, it may also be important that it not



Further adjuncts to the process which increase permeability of skin or decrease skin barrier function may be helpful with optimizing the present invention. Options for this include, but are not limited to, stripping, removing, thinning or diminishing the structure, function, thickness or permeability of the stratum corneum by various mechanical, abrasive, photo acoustical, ablative, thermal, chemical, abrasive or enzymatic methods. Examples of these could include solvent or tape stripping, scrubbing, laser ablation or vaporization, chemical peeling, micro dermabrasion, enzyme peeling, or laser treatment using high peak power, short pulse duration lasers. A preferred embodiment may be enzyme peel, which is formulated to specifically remove only the dead stratum corneum cells.

In another embodiment of the invention sonophoresis may be used alone, without a topical agent, to produce a thermal effect (rather than to drive drugs in) to stimulate the skin (e.g. make fibroblasts, produce new collagen, elastin, etc.).

Examples of the active agent might include any of the following, either alone or in combination: Vitamin C; Vitamin E; Vitamin A; Vitamin K; Vitamin F; any of the various chemical forms and analogs; of these vitamins; Retin A (Tretinoin); Adapalene; Retinol; Hydroquinone; Kojic acid; various growth factors; echinacea; antibiotics; antifungals; antivirals; bleaching agents; alpha hydroxy acids; beta hydroxy acids; salicylic acid; antioxidant triad compound (with or without Tretinoin or Vitamin A derivatives); seaweed and salt water derived products antioxidants, phytoanthocyanins, phytonutrients, botanical and herbaceous products, hormones (including insulin), enzymes, minerals, growth factors, genetically engineered substances, cofactors or catalysts for various biological pathways and other antiaging substances, antibiotics, antifungals, and antivirals.

The active agents used in accordance with the present invention may be characterized by one or more of a variety of properties. Optimization of the active agents for use in accordance with the present invention may be achieved

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**Stability** - Some active agents may be unstable and may rapidly degrade after being dissolved in a vehicle or coupling agent. Therefore, in one preferred embodiment the active agent may be in the form of a powder (such as a freeze dried powder or lyophilized powder, for example) that is not mixed until treatment is imminent. Other instabilities may be related to oxidation from atmospheric oxygen or exposure to ultraviolet light or sunlight. Thus, in one preferred embodiment the active agent may be packaged under vacuum or nitrogen or another inert gas and may be packaged in a manner that protects the active agent from light.

**Molecular Size** - The active agent should preferably have a molecular size which enables it to penetrate the skin at the time of maximum permeability, and then should preferably be in a form which is either “active” or may become “activated” in the skin. For example, in the case of Vitamin C treatments, L-ascorbic acid has stability problems but is the active form in the skin and is a small molecule which enables penetration. In contrast, magnesium ascorbyl phosphate is very stable but is a much larger molecule and does not penetrate easily with current delivery systems. Guy & Potts have shown that the permeability of human (and mouse) stratum corneum may be determined by the molecular volume (weight) and the partition coefficient log *poor*.

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use of movement across the stratum corneum and the difference in concentration or percentage of active agent and also the thickness of the stratum corneum.

**Partition Coefficient** - One of the dominant factors in determining the percentage transfer of the active agent into the skin, the Partition Coefficient refers to the tendency for the active agent to leave its vehicle and enter the stratum corneum. The amount of material that moves across the units representative of stratum corneum and a given unit of time tends to be directly proportional to the Partition Coefficient as well as the Diffusion Coefficient.

In a preferred embodiment the invention may be provided in the form of a "treatment kit" prepackaged to contain all the appropriate topical agents, drugs, supplies, etc. needed for a specific treatment. The kit may be divided into compartments or zones. Each compartment may be coded by color, number or letter (for example), so that the compartments follow a "Step System" that guides the treatment provider (i.e., the nurse, esthetician, physician, etc.) through the treatment process. Within each color coded zone, individual products that are color coded to match that step color would be provided so that they would not be easily confused.

Each kit may be produced specifically for a certain active agent. Each kit may be produced specifically for a certain usage, based on disorder being treated, anatomic area, etc.

**Treatment Regimen Cards** may be included in the kit. The Treatment Cards may become a part of the patient record or chart. The Treatment Cards may enable the treatment provider to chart multiple, serial treatments. Such Treatment Cards may be useful to record basic information such as date of treatment, anatomic location, disorder, patient name, comments, etc. The Treatment Cards may also provide information regarding suggested treatment intervals, numbers of treatments, incremental increases in treatment parameters, incremental increases in active agent application time or strength.



Several different Treatment Cards may be included in a kit for a treatment provider to select. For example, a single kit may include different Treatment Cards for sensitive skin, regular skin, and post surgical skin treatment. These different Treatment Cards may have, as their distinguishing characteristics, differences in one or more of at least the following: percentage dilution of active agents, amount of time various agents or treatment are applied, or ultrasound or light source parameters, etc. Different Treatment Cards may be provided for different anatomic areas, such as the face, the arms or the legs, where these parameters may also be varied. Different Treatment Cards may be provided for different treatment options, for example gentle treatment for mild sun damage vs. aggressive treatment for severe sun damage.

The Treatment Cards may be color coded to indicate the time period for equipment parameters directly on the card. The Treatment Cards may also cross reference for percent concentration to the kit itself (in essence within each step of the kit) which may be color coded (for example pale blue background). For example, there may be three levels of dilution or strength (mild, intermediate, maximal) which may be identified by a color code on the Treatment Card.

For example, at one step of the treatment the active agent may be mixed from a dry powder. The mixing instructions may be imprinted on the box for the dilution, and the Treatment Card may also indicate the recommended dilution. For example, a patient with sensitive skin receiving a series of six treatments may start at the most mild of the three dilution strengths for the first three treatments and then go to the intermediate for the last three. In contrast, a person with average skin might have the first two treatments performed at the mild strength, the third and fourth treatments at the intermediate strength, and the fifth and sixth treatments at the maximum strength. In that case weeks one and two of the Treatment Card may be one color to match the mild bar and the one background color, weeks three and four may be a different color to match

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Step 4 may include the post treatment skin protective regimen which may include the following:

- A cleansing agent to remove the specific active agent prepackaged.
- A buffering solution to restore the skin to pH 5.5 (if necessary for a given process or active agent).
- An environmental protection lotion which may be specially formulated to help protect the skin until it has regained its own barrier function.
- A possible nonirritating sun block to use on top of the environmental protective cream.

The present invention has numerous potential beneficial uses. For example, the present invention, in a preferred embodiment, may be useful to directly or indirectly produce beneficial effects by biochemical stimulation of tissue or cells (or thermal events without the use of topical agents) including such activities as stimulating fibroblast production of new collagen or elastic fibers. The present invention, in a preferred embodiment, may be useful to lighten uneven or extra pigment (including melanin) in the epidermis or dermis. The present invention may be useful to add, augment or supplement antioxidants, vitamins, phytonutrients, trace elements, minerals, or naturally occurring, synthetic or generically engineered substances which may alter or improve the structure, health or function of the skin or subcutaneous tissue.

The present invention, in a preferred embodiment, may be useful to: deliver agents which enhance, speed or promote wound healing; deliver anesthetic agents to the skin and subcutaneous tissues; improve skin tone and "tighten" loose skin; to reduce the appearance of cellulite; reduce wrinkles or scars; deliver drugs for the purpose of producing a non-local, systemic effect (such as insulin); deliver agents in their pure or neat form or in vehicles such as gels, creams, ointments, emulsions, micropolymer beads (or sponges, etc.), liposomes or other natural or synthetic "transport device" used with or without a coupling media.



stimulate.

Light therapy in accordance with the present invention probably produces biostimulation in an energy range of from about 0.01 to about 5.0 Joules/cm<sup>2</sup> and perhaps up to about 10 Joules/cm<sup>2</sup>. Inhibition probably extends from about 5.0 to about 10.0 Joules/cm<sup>2</sup> or perhaps higher in some cases.

The present invention, in a preferred embodiment, may be useful to specifically stimulate (or inhibit) the growth of hair or other skin appendages (such as nails, etc). The present invention, in a preferred embodiment, may also be useful to stimulate the growth, or re-growth, of fine vellus or dormant or inactive hairs (e.g. to treat hair loss, for example). For example, the present invention may be useful to enhance the effectiveness of Rogaine or similar drugs used in the treatment of male pattern baldness.

The present invention, in a preferred embodiment, may be useful to stimulate (or inhibit) the growth of other cells. Various laser parameters may be matched to those effective for the particular cells being treated. These laser parameters may include wavelength, energy fluence, pulse duration, time of exposure, frequency of exposure, etc.

The present invention, in a preferred embodiment, may be useful to stimulate cell activity, such as stimulating fibroblasts (including fetal fibroblasts) to produce collagen and elastin, for example. The present invention, in a preferred embodiment, may be useful to stimulate cell proliferation or multiplication, such as stimulating native, transplanted, foreign or bioengineered fibroblasts, for example. The present invention may further be useful to stimulate simultaneously both cell activity and cell proliferation.

The present invention, in a preferred embodiment, may be useful to affect abnormal cells, such as benign or malignant cells, by inhibiting (or stimulating) tumor growth. The stimulation may be achieved either directly or indirectly, through interaction with an added substance. Such added substances might include, for example, chemicals, dyes, hormones, genetically engineered

substances, plant derived materials, synthetic human materials (such as synthetic melanin), etc. The added substances may be effective inside or outside the cell, and may be incorporated into cells or structures by various methods. The present invention, in a preferred embodiment, may also be useful to affect organ regeneration.

The present invention, in a preferred embodiment, may be useful to affect or modify cells which have been manipulated or altered (by genetic engineering or other cell modification technology) so that the cells may be stimulated or inhibited. Cells may be made more or less productive, active, to multiply, to die, etc., so that the cells respond more favorably than normal or native cells to any of the processes described herein. This could make subcellular components, systems, or organelles behave in like manner as described above (e.g. could make the cell "energy factories" - the mitochondria - more productive or photoactive, etc., or make changes to cellular DNA and/or RNA that would alter response to treatments described herein). Changes in the telomere may alter the cellular division "limit" or remove limits on the functioning or multiplication capabilities of selected cells or cell lines.

The present invention, in a preferred embodiment, may be useful to insert, inject, or otherwise place fibroblasts (including fetal, autologous, donor, or genetically engineered fibroblasts) into the skin (or into wounds, etc), associated with a collagen (including fetal collagen), synthetic or bioengineered matrix. Light therapy, ultrasound therapy, topicals, or a combination of these may be useful to stimulate the treated area. Current commercially available materials that may be used for this purpose may include, for example, Appligraf, Dermologen, Isolagen, Zyderm, Zyplast, and other similar products or mixtures thereof. For example, the present invention may be useful to treat chronic skin ulcers. Such skin ulcers may be pretreated in accordance with the present invention to prepare or stimulate the wound bed. Appligraf may then be applied. The ulcers may be posttreated in accordance with the present invention to

stimulate or activate fibroblasts (including fetal fibroblasts) and to enhance wound healing. Meanwhile, the treatment may be supplemented by providing precursor substance intravenously.

The present invention, in a preferred embodiment, may be useful to add "precursor substances" in appropriate concentrations, forms, etc. that may enhance or facilitate appropriate metabolic pathways. The precursor substances may be added prior to, during, after, or at any time relative to the time of treatment(s) to maximize the effects of stimulation (or inhibition) by light therapy or ultrasound therapy (or both, since ultrasound therapy may help enhance permeability for large molecules). The maximum effectiveness of a product may thereby be obtained from the stimulation (inhibition). Such precursor substances may include, but are not limited to, chemicals, enzymes, cofactors, etc. (For example, for collagen (including fetal collagen) synthesis the precursor substances may include: ascorbic acid, iron, proline, hydroxyproline, etc.). Such precursor substances could also be oral or parenteral (e.g., delivered intravenously for wound healing).

It is also possible to add (any route, not just skin) inhibitors of breakdown of the substance whose increased production is desired (e.g. For elastin could use substances which inhibit elastase enzyme. For collagen (including fetal collagen) could use inhibitors of metalloproteinases also formerly known as collagenases). These inhibitors could be direct or could work in an indirect manner to either increase activity/quantity of other native or exogenously added inhibitors or to decrease activity/quantity of the substance that produces the breakdown.

The present invention, in a preferred embodiment, may be useful to stimulate or activate new skin substitutes, wound healing agents or dressings that contain fibroblasts (e.g. Appligraf).

The present invention, in a preferred embodiment, may be useful to directly stimulate (or inhibit) the hair follicle itself or to deliver stimulating





delaying aging, or at least delaying the outward appearance or cosmetic manifestations of aging in skin and other cells and tissues. Preventing or diminishing the production or activity of skin matrix metalloproteinases (MMP) may help to prevent or diminish the degradation of existing or newly formed collagen and skin dermal matrix. The present invention may be useful as periodic treatment to counter the adverse effects of photaging.

Various processes and events produce or promote their activities. For example, ultraviolet light exposure produces photoaging of the skin and solar scarring of the skin.

If the objective is to stimulate the production of new collagen, or to inject or implant fibroblasts (or cover a wound with them) with or without being kept on a latticework or matrix of some type of already formed collagen, then premature degradation is undesirable. Likewise, degradation of the newly formed collagen is undesirable.

The presently disclosed embodiments are to be considered in all respects as illustrative and not restrictive, the scope of the invention being indicated by the appended claims, rather than the foregoing description, and all changes which come within the meaning and range of equivalency of the claims are therefore intended to be embraced therein.